

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant Application of: Lawrence Shields et al. Docket No.: 4797-86  
Serial No.: 10/003,613 Examiner: To be assigned  
Filed: November 2, 2001 Group Art Unit: 2164  
Title: **SYSTEM AND METHOD FOR IMPLEMENTING  
EMPLOYEE STOCK OPTION AND PURCHASE PLANS**

July 18, 2002

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97(b)**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, applicant hereby notifies the U. S. Patent and Trademark Office of the following documents, which are listed on the attached PTO/SB/08A form. The examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. Copies of the documents are enclosed for the examiner's convenience.

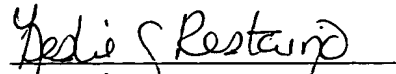
The submission of the listed documents is not intended as an admission that the document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4270.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Leslie Gladstone Restaino", written over a horizontal line.

Leslie Gladstone Restaino

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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of

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**Complete if Known**

Application Number	10/003,613
Filing Date	November 2, 2001
First Named Inventor	Lawrence Shields et al.
Group Art Unit	2164
Examiner Name	To be assigned
Attorney Docket Number	4797-86

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,346,442		MUSMANNO, Thomas	08/24/1982	
		4,376,978		MUSMANNO, Thomas	03/15/1983	
		4,566,066		TOWERS, Frederic	01/21/1986	
		4,597,046		MUSMANNO, Thomas, et al.	06/24/1986	
		4,648,037		VALENTINO, James	03/03/1987	
		4,674,044		KALMUS, Leslie, et al	06/16/1987	
		4,751,640		LUCAS, Barbara, et al.	06/14/1988	
		4,774,663		MUSMANNO, Thomas, et al.	09/27/1988	
		4,823,265		NELSON, George	04/18/1989	
		4,953,085		ATKINS, Charles	08/28/1990	
		4,989,141		LYONS, Richard, et al.	01/29/1991	
		4,994,964		WOLFBERG, Larry, et al.	02/19/1991	
		5,126,936		CHAMPION, Robert, et al.	06/30/1992	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner  
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
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		Number	Kind Code <sup>2</sup> (if known)			
		5,132,899		FOX, Phillip	07/21/1992	
		5,193,056		BOES, R. Todd	03/09/1993	
		5,210,687		WOLFBERG, Larry, et al.	05/11/1993	
		5,214,579		WOLFBERG, Larry, et al.	05/25/1993	
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		5,233,514		AYYOUBI, Luay, et al.	08/03/1993	
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		5,671,363		CHRISTOFICH, John, et al.	09/23/1997	
		5,692,233		GARMAN, Mark	11/25/1997	
		5,758,097		DEBE, A. Joseph, et al.	05/26/1998	

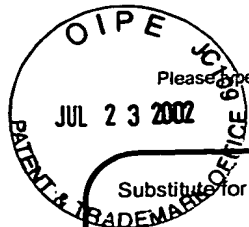
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		5,774,880		GINSBERG, Phillip	06/30/1998	
		5,802,500		RYAN, Raymond, et al.	09/01/1998	
		5,832,461		LEON, Tomas, et al.	11/03/1998	
		5,852,811		ATKINS, Charles	12/22/1998	
		5,857,176		GINSBERG, Philip	01/05/1999	
		5,864,828		ATKINS, Charles	01/26/1999	
		5,884,285		ATKINS, Charles	03/16/1999	
		6,173,270		CRISTOFICH, John, et al.	01/09/2001	
		09/712,358		FITZPATRICK, William, et al.	01/14/2000	

### FOREIGN PATENT DOCUMENTS

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